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MAY 10, 2002

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Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

FISH & RICHARDSON P.C.
SCOTT C. HARRIS
4350 LA JOLLA VILLAGE DRIVE, SUITE 500
SAN DIEGO, CALIFORNIA 92122



102081638A

**CORRECTED
NOTICE**

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/16/2002

REEL/FRAME: 012496/0009
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MALEKI, LUFTOLLAH

DOC DATE: 12/05/2001

ASSIGNOR:

ILCHENKO, VLADIMIR

DOC DATE: 12/05/2001

ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 09925713
PATENT NUMBER:FILING DATE: 08/08/2001
ISSUE DATE:

MARGARET LASALLE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

05-10-2002

Substitute Form PTO-1585
Attorney Docket No.: 06818-677001
Client's Ref. No.: CIT-3268 / CIT-3415

102081638

ER SHEET

-Y

Commissioner for Patents: Please record the attached original document(s) or copy(ies).

1. Name of conveying party(ies): Luftollah Maleki and Vladimir Ilchenko Additional name(s) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): California Institute of Technology 1200 East California Boulevard Pasadena, CA 91125
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: 12/05/2001	4. Application number(s) or patent number(s): If this document is being filed with a new application, the execution date of the application is: A. Patent Application No(s.): 09/925,713
Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name/address of party to whom correspondence concerning document should be mailed: SCOTT C. HARRIS PTO Customer No. 20985 Fish & Richardson P.C. 4350 La Jolla Village Drive, Suite 500 San Diego, California 92122	6. Total number of applications/patents involved: 1 7. Total fee (37 CFR §3.41): \$40 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge Deposit Account.
8. Deposit Account No.: 06-1050 Please apply any additional charges, or any credits, to our Deposit Account No. 06-1050.	
DO NOT USE THIS SPACE	
9. Statement and Signature: <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>	
For Scott C. Harris Reg. No. 32,030 Name of Person Signing	 JAMES T. HAGLER REG. NO 40,631 Date: December 5, 2001
Total number of pages including coversheet, attachments and document: 2	

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service in first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner of Patents, Washington, D.C. 20231

December 5, 2001
Date of Deposit

Norman Green
Typed Name of Person Signing Certificate

ASSIGNMENT

For valuable consideration, we, LUFTOLLAH MALEKI of 1230 Glen Oaks Boulevard, Pasadena, CA 91105, and VLADIMIR ILCHENKO of 2115 La Canada Crest, #111, La Canada, CA 91011, hereby assign to California Institute of Technology, a non-profit corporation having a place of business at 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled OPTICAL SENSING BASED ON WHISPERING-GALLERY-MODE MICROCAVITY, filed August 8, 2001, and assigned U.S. Serial Number 09/925,713; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

12/5/01
DateLuftollah Maleki12/5/01
DateVladimir Ilchenko

Attorney's Docket No.: 06618-677001 / CIT-3268 / CIT-3415

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Lutfollah Maleki, et al Art Unit : 2877
Serial No.: 09/925,713 Examiner : Unknown
Filed : August 8, 2001
Title : OPTICAL SENSING BASED ON WHISPERING-GALLERY-MODE
MICROCAVITY

U.S. Patent and Trademark Office
Assignment Division
Box Assignments-CG-4
1213 Jefferson Davis Hwy., Suite 320
Washington, D.C. 20231

REQUEST TO CORRECT NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

Applicants request that the inventor's name be corrected on the Recordation Form Cover Sheet for the above case. The mistake was made by the Patent Office as evidenced by the Assignment and Recordation Form Cover Sheet, copies of which are enclosed.

Please correct the inventor's name to read as follows:
Vladimir Ilchenko.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

April 12, 2002

Date of Deposit

Signature

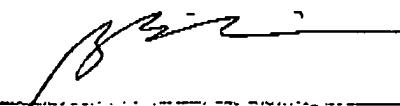
Sharon Gebhart

Typed or Printed Name of Person Signing
Certificate

Attorney's Docket No.: 06618-677001/CIT-3268/CIT-3415

No fee is believed to be due. Please apply any charges or credits to our Deposit Account No. 06-1050.

Respectfully submitted,



Scott C. Harris
Reg. No. 32,030

BING AL
REG. NO 43,312

Fish & Richardson P.C.
PTO Customer No. 20985
4350 La Jolla Village Drive, Suite 500
San Diego, California 92122
(858) 678-5070 telephone
(858) 678-5099 facsimile

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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
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Washington, D.C. 20231

06618-605001

NOVEMBER 01, 2001

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FISH & RICHARDSON P.C.
SCOTT C. HARRIS
4350 LA JOLLA VILLAGE DRIVE, SUITE 500
SAN DIEGO, CALIFORNIA 92122



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RECORDATION DATE: 08/27/2001

REEL/FRAME: 012115/0428
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSICNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSTGNOR:

MALEKI, LUTFOLLAH

DOC DATE: 07/31/2001

ASSIGNOR:

YAO, XIAOTIAN S.

DOC DATE: 08/17/2001

ASSIGNOR:

ILCHENKO, VLADIMIR

DOC DATE: 08/22/2001

ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125SERIAL NUMBER: 09816872
PATENT NUMBER:FILING DATE: 03/22/2001
ISSUE DATE:

* No Docketing Requested	
Reviewed by [Signature] [Initials]	
Reviewed by [Signature] Secretary	
Initials:	[Signature]

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012115/0428 PAGE 2

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
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08-31-2001

Substitute Form PTO-1595
Attorney Docket No.: 08818-805001
Client's Ref. No.: CIT 3188

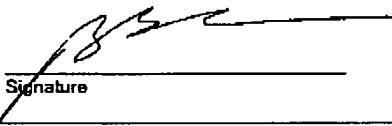
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Commissioner for Patents: Please record the attached original document(s) or copy(ies).

1. Name of conveying party(ies): Lutfollah Maleki, Xiaotian S. Yao and Vladimir Ilchenko Additional name(s) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies): California Institute of Technology 1200 East California Boulevard Pasadena, CA 91125	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: July 31, 2001; August 17, 2001; and August 22, 2001	8-21-01 Additional names/addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4. Application number(s) or patent number(s): If this document is being filed with a new application, the execution date of the application is: A. Patent Application No(s).: 09/816,872	B: Patent No(s).: Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name/address of party to whom correspondence concerning document should be mailed: SCOTT C. HARRIS Fish & Richardson P.C. PTO Customer No. 20985 4350 La Jolla Village Drive, Suite 500 San Diego, California 92122	6. Total number of applications/patents involved: 1 7. Total fee (37 CFR §3.41): \$40 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to charge Deposit Account. 8. Deposit Account No.: 06-1050 Please apply any additional charges, or any credits, to our Deposit Account No. 06-1050.	
DO NOT USE THIS SPACE		
9. Statement and Signature: <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>		
Bing Ai Reg. No. 43,312 Name of Person Signing	 Signature _____	August 23, 2001
		Total number of pages including coversheet, attachments and document: 4

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08/31/2001 DBYRME 00000073 09816872

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August 23, 2001
Date of Deposit

Norman Green
Typed Name of Person Signing Certificate

07/31/01 TUE 10:50 FAX

P&R

005

Attorney Docket No. 06618-605001/CIT3188

ASSIGNMENT

For valuable consideration, we, LUTFOLLAH MALEKI of Pasadena, California, XIAOTIAN S. YAO of Diamond Bar, California, and VLADIMIR ILCHENKO of La Canada, California, hereby assign to: California Institute of Technology, a non-profit corporation having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled NON-SPHERICAL WHISPERING-GALLERY-MODE MICROCAVITY, filed March 22, 2001, and assigned U.S. Serial Number 09/816,872; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

Date: 7/31/01


 LUTFOLLAH MALEKI

Date: _____

XIAOTIAN S. YAO

Date: _____

VLADIMIR ILCHENKO

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FROM : General Photonics

FAX NO. : 909-902-5536

Aug. 17 2001 05:02PM PS
1005

Attorney Docket No. 06618-605001/CIT3158

ASSIGNMENT

For valuable consideration, we, LUTFOLLAH MALEKI of Pasadena, California, XIAOTIAN S. YAO of Diamond Bar, California, and VLADIMIR ILCHENKO of La Canada, California, hereby assign to: California Institute of Technology, a non-profit corporation having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled NON-SPHERICAL WHISPERING-GALLERY-MODE MICROCAVITY, filed March 22, 2001, and assigned U.S. Serial Number 09/816,872; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

Date: _____

LUTFOLLAH MALEKIDate: 8/17/01XIAOTIAN S. YAO

Date: _____

VLADIMIR ILCHENKO

10117149.doc

Attorney Docket No. 06618-605001/CTT3188

ASSIGNMENT

For valuable consideration, we, LUTFOLLAH MALEKI of Pasadena, California, XIAOTIAN S. YAO of Diamond Bar, California, and VLADIMIR ILCHENKO of La Canada, California, hereby assign to: California Institute of Technology, a non-profit corporation having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled NON-SPHERICAL WHISPERING-GALLERY-MODE MICROCAVITY, filed March 22, 2001, and assigned U.S. Serial Number 09/816,872; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

Date: _____

LUTFOLLAH MALEKI

Date: _____

XIAOTIAN S. YAODate: 8/12/01VLADIMIR ILCHENKO